

CHECKLIST FOR INITIAL PRENEED CERTIFICATE OF AUTHORITY & BRANCH REGISTRATION APPLICATIONS

The following is a checklist of the items that must be submitted to the Alabama Department of Insurance in order to obtain a Preneed Certificate of Authority and any Branch Registrations. Complete this checklist and include it with your renewal submission. **Your renewal application is not complete until all of the above have been received, completed as applicable, including all fees and required signatures.**

ANY PRENEED SALES WITHOUT A VALID CERTIFICATE OF AUTHORITY VIOLATE ALA. CODE SECTION 27-17A-22(a)(1) AND MAY SUBJECT YOU TO CRIMINAL ACTION.

Note: All forms are available online at www.aldoi.gov/preneed. Please check this website for the most current versions of all forms.

- ☐ Application fee(s) (no cash) for Certificate of Authority and each Branch Registration (if any).
- ☐ Application for Preneed Certificate of Authority (signed and dated, with all appropriate information provided, including funding method, biographical and ownership information)
- ☐ List of each Trustee, Life Insurance/Annuity Company, Letter of Credit Issuing Bank or Surety Bond Company related to the method(s) of funding. If funded by trust or trust alternative, place a check next to the intended method(s) and provide the document(s) listed:
 - ☐ Trust: provide an original copy of the trust document, signed and executed by the preneed entity and the financial institution.
 - ☐ Letter of Credit: provide the original letter of credit issued by the financial institution.
 - ☐ Surety Bond: Provide the original surety bond issued by the insurance company.
- ☐ Application for Preneed Branch Certificate of Authority (if any) (signed and dated for each branch, with all appropriate information provided).
- ☐ Financial Statement as of the last fiscal year prepared in accordance with Alabama Preneed Regulation Chapter 482-3-003-.10. If you are a new owner or this is a new business, a Pro Forma financial statement is acceptable. The financial statement may be prepared using either generally accepted accounting principles (GAAP) or in the form and basis of accounting prescribed in Preneed Regulation Chapter 482-3-003-.10.
- ☐ Registration of Preneed Sales Agent. Each person selling preneed funeral merchandise and services and/or cemetery merchandise and services for the certificate of authority holder must be registered as a preneed sales agent. Instructions and the form for agent registrations are found at <http://www.aldoi.gov/Preneed/PSA.aspx> Please note that each preneed entity must have at least one preneed sales agent registered.
- ☐ Citizenship Documentation (required only for individuals or partnerships; not required for Corporations, an LLC, an S Corp or a C Corp).
- ☐ Copy of preneed contract to be used in preneed sales.
- ☐ Endowment Care Cemetery executed trust document (if applicable).